

Form PTO-1449 (Rev. 8-83)	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTORNEY DOCKET NO.	SERIAL NO.
GRAFF-P2-98		09/134,453	
APPLICANT			
Richard A. Graff		FILING DATE	GROUP
08/14/98		Unknown	

INFORMATION DISCLOSURE CITATION
(Use several sheets if necessary)



U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

NDR	C1	Auster, "Amortizing Life Estates and Term Interests After the Revenue Reconciliation Act of 1989," <i>TAXES-The Tax Magazine</i> , 68, pp. 459-469 (1990).
NDR	C2	Auster and Lau, "Corporate Split Purchase Strategies," <i>TAXES-The Tax Magazine</i> , pp.857-865 (1998).
NDR	C3	Blum, "Amortization of a Retained Terminable Interest After Transfer of a Remainder," <i>TAXES-The Tax Magazine</i> , Vol. 62, No. 4, pp. 211-219 (1984).
NDR	C4	Booth, Cashdan and Graff, "Real Estate: A Hybrid of Debt and Equity," <i>Real Estate Review</i> , pp. 54-58 (1989).
NDR	C5	DeAngelo and Masulis, "Optimal Capital Structure Under Corporate and Personal Taxation," <i>J. of Financial Economics</i> , 8, pp. 3-29 (1980).
NDR	C6	Dohrmann, G., "Net Lease," <i>The Institutional Real Estate Letter</i> , Vol. 3, No. 9, pp. 1-7 (Sept. 1991).
NDR	C7	Graff, "Perspectives on Debt-and-Equity Decomposition for Investors and Issuers of Real Estate Securities," <i>J. of Real Estate Research</i> , Vol. 7, No. 4, pp. 449-467 (1992).
NDR	C8	Graff, "Rethinking Components of Real Estate Value," <i>Pensions & Investments</i> , p. 42 (1991).

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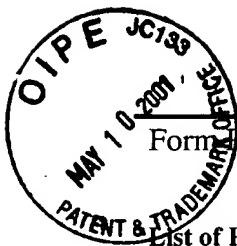
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NDR	C9	Graff, "Some New Ideas in Real Estate Finance," <i>J. of Applied Corporate Finance</i> , 3:1, pp. 77-89 (1990).
NDR	C10	Graff, R., "The Impact of Tax Issues on Real Estate Debt and Equity Separation," <i>Real Estate Review</i> , 20:3, pp. 50-58 (1990).
NDR	C11	Leimberg, et al., "The Schnepfer-Leimberg Joint Purchase of a Life Estate and a Remainder Interest," <i>Tax Notes Special Report</i> , Vol. 32, No. 10, pp. 981-984 (1986).
NDR	C12	Miller, "Debt and Taxes," <i>J. of Finance</i> , Vol. 32, No. 2, pp. 261-275 (1977).
NDR	C13	Modigliani and Miller, "Corporation Income Taxes and the Cost of Capital: A Correction," <i>American Economic Review</i> , 53, pp. 433-443 (1963).
NDR	C14	Modigliani and Miller, "The Cost of Capital, Corporation Finance and the Theory of Investment," <i>American Economic Review</i> , 48, pp. 261-297 (1958).

EXAMINER *Nicholas D. Roush*DATE CONSIDERED *May 16, 2000*

*EXAMINER: Initial citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



#8

Form PTO-1449 (modified)

Atty. Docket No. Graff-P2-98

Serial No.
09/134434

List of Patents and Publications for Applicant's

INFORMATION DISCLOSURE STATEMENT

Applicant: Richard A. Graff

Filing Date:

August 14, 1998

Group:

2761

(Use several sheets if necessary)

U.S. Patent Documents

See Pages 1-2

Foreign Patent Documents

See Page 2

Other Art

See Page 2

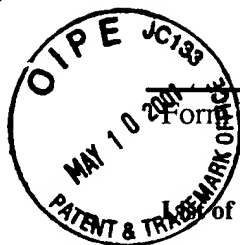
U.S. Patent Documents

Exam. Init.	Ref. Des.	Document Number	Date	Name	Class	Sub Class	Filing Date if App.
NDR	A1	3,581,072	May 25, 1971	Auction Market Computation System	340	172.5	Mar. 28, 1968
NDR	A2	4,412,287	Oct. 25, 1983	Automated Stock Exchange	705	37	Sept. 15, 1982
NDR	A3	4,674,044	Jun. 16, 1987	Automated Securities Trading System	364	408	Jan. 30, 1985
NDR	A4	4,789,928	Dec. 6, 1988	Auction Information Transmission Processing	364	401	Jan. 30, 1987
NDR	A5	4,823,265	Apr. 18, 1989	Renewable Option and Marketing System	705	35	May 11, 1987
NDR	A6	4,903,201	Feb. 20, 1990	Automated Futures Trading Exchange	364	408	Nov. 3, 1983
NDR	A7	4,980,826	Dec. 25, 1990	Voice Actuated Automated Futures Trading Exchange	364	408	Mar. 19, 1984
NDR	A8	5,038,284	Aug. 6, 1991	Method and Apparatus Relating to Conducting Trade Transactions With Portable Trading Stations	705	37	Feb. 17, 1998
NDR	A9	5,077,665	Dec. 31, 1991	Distributed Matching System	364	408	May 25, 1989
NDR	A10	5,101,353	Mar. 31, 1992	Automated System for Providing Liquidity to Securities Markets	705	37	May 31, 1989
NDR	A11	5,136,501	Aug. 4, 1992	Anonymous Matching System	364	408	May 26, 1989
NDR	A12	5,220,500	Jun. 15, 1993	Financial Management System	364	408	Sept. 19, 1989

EXAMINER: Nicholas D. Roper

DATE CONSIDERED: August 6, 2001

EXAMINER: INITIAL IF REFERENCE CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED. INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.



PTO-1449 (modified)		Atty. Docket No. Graff-P2-98	Serial No. 09/134453
Office of Patents and Publications for Applicant's INFORMATION DISCLOSURE STATEMENT		Applicant: Richard A. Graff	
		Filing Date: August 14, 1998	
(Use several sheets if necessary)		Technology Center 2100 2761	
U.S. Patent Documents See Pages 1-2	Foreign Patent Documents See Page 2		Other Art See Page 2

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Exam. Init.	Ref. Des.	Document Number	Date	Name	Class	Sub Class	Filing Date if App.
NDR	A13	5,243,515	Sept. 7, 1993	Secure Teleprocessing Bidding System	364	401	Oct. 30, 1990
NDR	A14	5,375,055	Dec. 20, 1994	Credit Management for Electronic Brokerage System	364	408	Feb. 3, 1992
NDR	A15	5,774,880	Jun. 30, 1998	Fixed Income Portfolio Index Processor	705	36	Feb. 28, 1995
NDR	A16	5,857,176	Jan. 5, 1999	Fixed Income Portfolio Data Processor	705	36	May 9, 1997

Foreign Patent Documents

Exam. Init.	Ref. Des.	Document Number	Date	Country	Class	Sub Class	Translation Yes/No
	B1						
	B2						

Other Art (Including Author, Title, Date Pertinent Pages, Etc.)

Exam. Init.	Ref. Des.	Citation
NDR	C1	"Electronic Bidding for Municipal Bonds: Technology Innovations for Competitive Bond Sales", Renata Morgenstern, Government Finance Review, Pgs. 23-25, February, 2000
NDR	C2	"In Today's Muni Market, Data Bases, Not Books, Provide Dealer, Clients With Timely Bond Data: Municipal Bond, Dealers Have Never Had it So Easy", Nicholas J. Dazzo, Public Finance Technology, Pg. 12A, Vol. 289, No. 28217, August 29, 1989
NDR	C3	"JP Morgan and Capital Link In Bid to Develop Electronic Auction for Corporate Debt Securities", Trading Systems Technology, Vo. 2, N20, April 24, 1989
NDR	C4	Richard Richtmyer, "Survey Shows The Bond Market is Warming Up to Electronic Trading", The Bond Buyer, Vol. 321, No. 30213, August 20, 1997

EXAMINER: *Nicholas J. Dazzo*DATE CONSIDERED: *August 6, 2001*

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